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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Paul Reiss Art Unit: 2164  
Serial No.: 10/066,120 Docket No.: HARTFORD-7  
Filed: January 31, 2002 Examiner: Ann Loftus  
For: METHOD AND SYSTEM FOR RECONCILING EQUITY HEDGE FUNDS

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicant submits herewith references or other information of which it is aware that it believes may be material to the examination of this application, and in respect to which, there may be a duty to disclose under 37 C.F.R. § 1.56 and in accordance with 37 C.F.R. §§ 1.97-1.98.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), or an admission that the information is material to patentability (37 C.F.R. 1.97(h)), or an admission that the information constitutes prior art.

**CERTIFICATE OF MAILING**

I hereby certify that this paper is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on Nov. 10, 2006

By: Abby Melcher Typed or Printed Name: Abby Melcher

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Pursuant to 37 C.F.R. §1.97(b)(3), no fee is believed due as this filing is being made before the mailing of a first Office action on the merits. Should there be any fees due and owing with respect to this application, the Examiner is authorized to charge such fees to Deposit Account No. 50-3208.

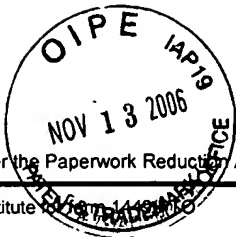
The Examiner is respectfully requested to review the references identified herewith and make them of record in the instant application as required by M.P.E.P. § 609. The Examiner is also requested to initial one copy of Form PTO-1449 and return same to the undersigned.

Respectfully submitted,



Edward J. Howard  
Registration No.: 42,670  
Plevy, Howard & Darcy, PC  
P.O. Box 226  
Fort Washington, PA 19034  
Telephone: (215) 542-5824  
Facsimile: (215) 542-5825  
Attorneys for Applicant

Date: November 10, 2006



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Substitute Form 1449

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number 10/066,120

Filing Date January 31, 2002

First Named Inventor Paul Reiss

Art Unit 3694

Examiner Name Ann Loftus

Attorney Docket No. HARTFORD-7

SHEET 1 of 2

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
	1	US-4,969,094	11/06/1990	Halley et al.	
	2	US-5,806,042	09/08/1998	Kelly et al.	
	3	US-5,926,792	07/20/1999	Koppes et al.	
	4	US-5,999,917	12/07/1999	Facciani et al.	
	5	US-6,049,772	04/11/2000	Payne et al.	
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
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Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

<sup>1</sup> Applicant's unique citation designation number (optional).

<sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

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The collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**Complete if Known**

Application Number	10/066,120
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Filing Date	January 31, 2002
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First Named Inventor	Paul Reiss
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Art Unit	3694
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Examiner Name	Ann Loftus
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Attorney Docket No. HARTFORD-7

**SHEET 2 of 2**

## U.S. PATENT APPLICATION PUBLICATIONS

Date  
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